Organization Capacity Evaluation

Organization: Phoenix Programs

Date of Review: August 23rd, 2013

Evaluation Valid: July 1, 2013-June 30, 2016
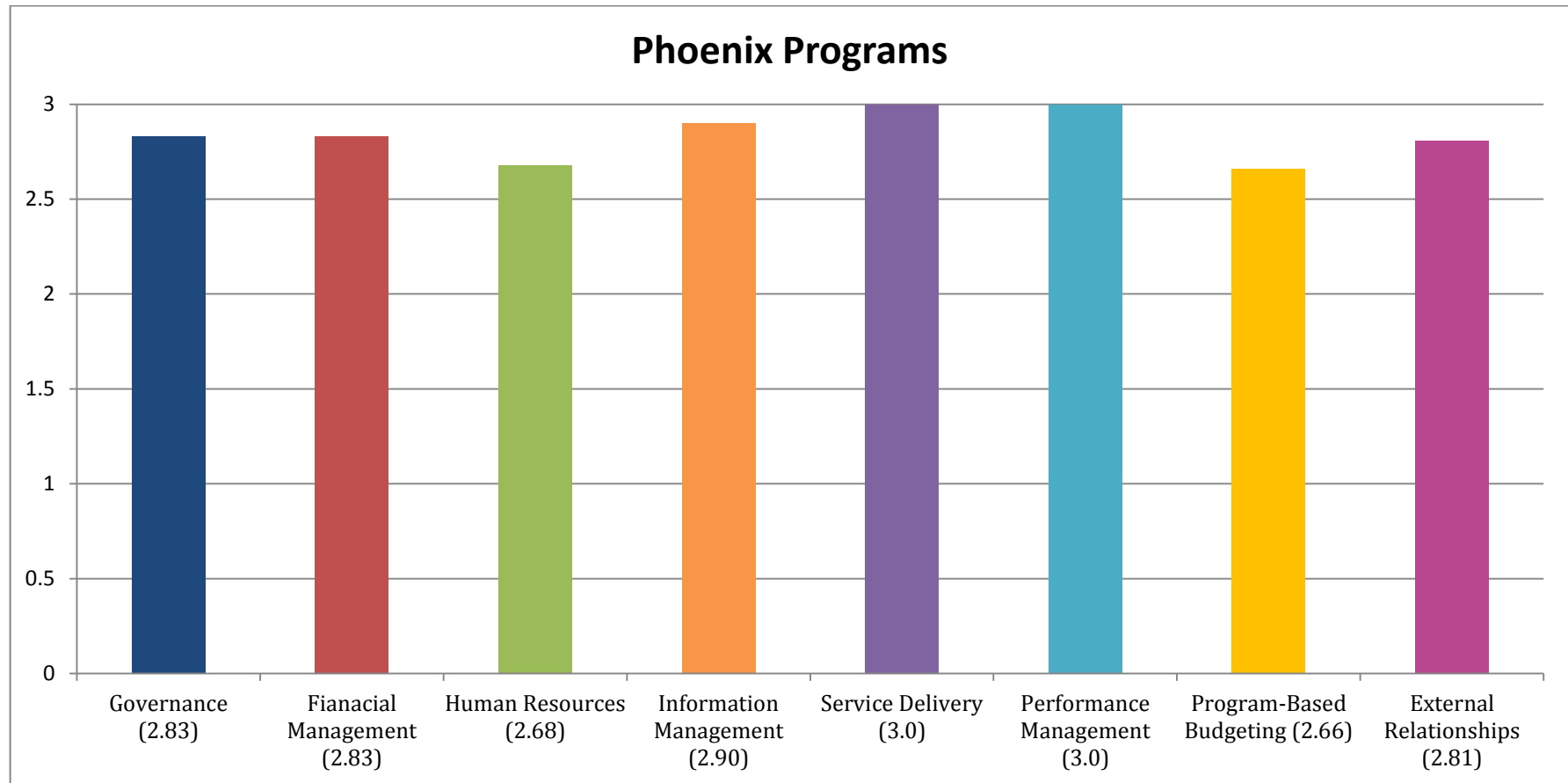
Overall Evaluation Score: 2.84

Phoenix Programs

Category	Score
Governance	2.83
Fianacial Management	2.83
Human Resources	2.68
Information Management	2.90
Service Delivery	3.0
Performance Management	3.0
Program-Based Budgeting	2.66
External Relationships	2.81

1. Governance: 2.83

	Response	Subheading Score	Category Score
Mission Statement	High – Clear expression of organization's reason for existence		**3**
Vision Statement	High – Vision translates into a clear set of goals used to direct actions and set priorities		**3**
Board of Directors			
• Appropriate number of board members	Required to have a min. of 3 with a max. of 12, currently have 6 board members	3	
• Average Rate	Have maintained 6-8 members for the last 3 years	3	
• Terms and term limits	No	1	
• Reflective of demographic served	Yes – determined by observation	2	
• Role in goal setting and management	Provides strong direction, support and accountability to leadership	3	
• Family/business relationships	No	3	
Board of Directors Average Score:		15/6=	**2.5**
Policies and Practices			
• Conflict of interest policy	Yes- Reviewed by evaluator	3	
• Whistleblower policy	Yes- Reviewed by evaluator	3	
• Document retention policy	Yes- Reviewed by evaluator	3	
• Business continuity plan	Yes- Reviewed by evaluator	3	
• Document meetings and track actions	Yes- Reviewed by evaluator, Date: 5/22/13	3	
• ED hiring process (Review and approval by independent persons, comparability data, and verification of the deliberation and decision)	1) Review and approval by independent persons – Board of Directors 2) No comparability data process indicated 3) Verification of deliberation – meeting minutes	2	
• Lobbying written policies and reported on IRS990	Does not lobby	N/A	

		Subheading Score	Category Score
Policies and Practices Average Score:		17/6=	**2.83**
Governance Capacity Score:		**11.33/4=**	**2.83**

2. Financial Management: 2.83

	Response	Subheading Score	Category Score
Policies, Practices, and Procedures			
• Written financial policies and procedures	Yes- Reviewed by evaluator	3	
• Accountability standards or practices and controls to ensure accuracy	Standard GAAP accounting standards, follow Federal standards for all programs	3	
• Accrual basis accounting	Yes	3	
Policies, Practices, and Procedures Average Score:		9/3=	**3.0**
Oversight			
• Person Responsible for daily fiscal management	Chief Financial Officer	Report	
• Is this person dedicated to fiscal management	No	1	
• Who is responsible for budget development	CFO and Executive Director	Report	
• Treasurer	Yes- Active Treasurer	3	
• Board oversight	Financial records are prepared and presented by CFO to the board at monthly meetings	Report	
• Annual review overseen by board	Yes	3	
• Form 990 provided to the Board of Directors	Yes	3	
Oversight Average Score:		10/4=	**2.5**
Insurance			
• Workers' compensation	Yes	3	
• Business Auto Liability	Yes	3	
• Commercial/General Liability	Yes	3	
• Directors and Officers Liability	Yes	3	

	Response	Subheading Score	Category Score
• Professional Liability	Yes	3	
Insurance Average Score:		15/5=	**3.0**
Financial Management Capacity Score:		**8.5/3=**	**2.83**

3. Human Resources: 2.68

	Response	Subheading Score	Category Score
Employment Policies and Practices			
• Written personnel policies	Yes- Reviewed by evaluator	3	
• Non-discrimination policy	Yes- Reviewed by evaluator	3	
• Affirmative Action Plan	Yes- Reviewed by evaluator	3	
• Workforce reflective of demographic served	Yes – Determined by observation	2	
• Labor laws clearly posted	Yes- Observed by evaluator	3	
• Criminal background checks on employees	Yes	3	
• Abuse and neglect checks	Yes	3	
• How often conducted?	At employment and annually	Report	
Employment Policies and Practices Average Score:		20/7=	**2.85**
Staff Training and Development			
• New employee orientation	Yes	3	
• Staff Development Plan	Yes- Reviewed by evaluator	3	
• Leadership Development Plan	No – has a leadership development team that meets on a weekly basis	1	
• Succession Plan	No	1	
• License and certification	License and certifications requirements adhered to	3	
Staff Training and Development Average Score:		11/5=	**2.2**
Volunteers			
• Screened and trained	Background checks, orientation, and training provided	3	

• How are volunteers utilized	Interns and project specific volunteers	Report	
Volunteers Average Score:		3/1=	**3.0**
Human Resources Capacity Score:		**8.05/3=**	**2.68**

4. Information Management: 2.90

		Subheading Score	Category Score
Policies and Procedures			
• Retention and destruction policies	Yes- Reviewed by evaluator	3	
• Funder requirements incorporated	Yes	3	
• Identify the records custodian	Records custodian	Report	
Policies and Procedures Average Score:		6/2=	**3.0**
Data Management			
• Client program and participation data	Yes	Report	
• Volunteer applications and records	Yes	Report	
• Personnel records	Yes	Report	
• Financial records	Yes	Report	
• Donor and contribution records	Yes	Report	
• Mailing list	Yes	Report	
• Workflow description	Yes	Report	
• Inventory of hardware and software	Yes	Report	
• Disaster readiness or recovery plan	Yes	Report	
Data Collection Score:	9 of 9 = High		**3.0**
• Who has access to program data	All clinicians, frontline staff, administrative staff	3	
• Is program data backed-up	Yes	3	
• Validity and reliability	High - Organization has systems in place to	3	

	ensure reliability and validity		
• Is data retained in accordance with policy?	Yes	3	
Program Data Management Average Score:		12/4=	**3.0**
Confidentiality			
• Confidentiality policies and procedures	Yes	3	
• Confidentiality agreement for:			
o Employees	Yes- Reviewed by evaluator	3	
o Volunteers	Yes- Reviewed by evaluator	3	
o Board members	Yes- Reviewed by evaluator	3	
• How often are they renewed	Annually	Report	
• Regular Trainings	Yes	3	
• Individual passwords for each computer	Yes	3	
• Privacy filters for monitors	No	1	
• Back-up protocol for collected data	Yes	3	
• Utilize paper shredders and/or secure recycling	Yes – both	3	
• Other steps and report	Locked doors, HIPAA Team makes regulations and enforces	Report	
Confidentiality Average Score:		25/9=	**2.77**
Systems and Infrastructure			
• Meets current and anticipated needs	Yes	3	
• Challenges	No challenges	Report	
• Upgrades in next 2 years	Will upgrade some technology dependent on grant funding	Report	
• Off-site data storage	No	1	
• Data management software	Penelope, CIMOR (DMH), HMIS, GAIN,ODM	Report	
• Network computer system	Yes	3	
• Network administrator on staff	Yes	3	
• Network back-up protocol	Yes	3	
• Utilize the following:			
o Microsoft Office Suite	Yes	Report	
o Commercial analytical software	No	Report	

• Rate systems for:			
○ Data Collection	High	3	
○ Data Management	High	3	
○ Data Reporting	High	3	
○ Data Storage	High	3	
Systems and Infrastructure Average Score:		25/9=	**2.77**
Information Systems Capacity Score:		**14.54/5=**	**2.90**

5. Service Delivery: 3.0

	Response	Subheading Score	Category Score
Program Services			
• Most successful aspect of program(s)	Case management, wrap around services, building relationships and trust to make treatment successful	Report	
• Barriers	Availability of affordable housing in the community for clients. Funding cut or reduced due to Federal sequester	Report	
Infrastructure			
• Meet current and anticipated needs	Yes	3	
• Rate capacity for			
○ Office building and meeting space	High	3	
○ Parking	High	3	
○ Storage	High	3	
Infrastructure Average Score:		12/4=	**3.0**
Policies, Practices, and Procedure			
• ADA Compliance and documentation	Yes- Reviewed by evaluator, based on Commission on Accreditation of Rehabilitation Facilities (CARF) standards	3	
• Written non-discrimination in accommodations	Yes- Reviewed by evaluator	3	
• Fulfill staffing ratios	Yes	3	
• Do you solicit feedback from participants	Yes – suggestion boxes, anonymous feedback online, and You First Survey done 6 months after discharge, treatment group surveys and specific program focus groups	3	
• Customer grievance process	Yes- Reviewed by evaluator	3	
Policies, Practices, and Procedure Average Score:		15/5=	**3.0**
Service Delivery Capacity Score:		**6/2=**	**3.0**

6. Performance Management: 3.0

	Response	Subheading Score	Capacity Score
Performance Management			
• Barriers and challenges	Determining performance measures for basic needs services	Report	
• Utilized to guide programming	Communicate with stakeholders, identify effective services, help organization compete for resources	3	
• Consistent with other funders	Yes	Report	
• Communicated to board	Yes	3	
• Communicated to staff and volunteers	Yes	3	
• Rate systems for			
o Monitoring performance	High	3	
o Reporting performance	High	3	
o Utilizing performance for evaluation and planning	High	3	
Performance Management Capacity Score:		**18/6=**	**3.0**

7. Program-Based Budgeting: 2.66

	Response	Subheading Score	Capacity Score
Program-Based Budgeting			
• Procedures for developing and monitoring program budgets	High - Well-designed and informed budget development process, utilizes historical and performance data, budgets are rigorously managed and adhered to	3	

• Does the process cover projected:
  o Ongoing revenues and expenditures
  o Occasional or special revenues and expenditures
  o Capital expenditures
	Yes – all included	3	

• Board members utilized	Yes	3	
• Annual program budgets tied to annual operational plan	Yes	3	
• Who is responsible for oversight	Chief Financial Officer and Executive Director	Report	

• Rate systems for:
  o Developing program budgets
  o Assessing data to recognize trends
  o Working with staff to understand budgets
  o Working with board to understand budgets
  o Accurately forecasting change in the budget
	High
	High
	Moderate
	Moderate
	
	Moderate
		3
		3
		2
		2
		
		2	

Program Based-budgeting Capacity Score:		**24/9=**	**2.66**

8. External Relationships: 2.81

	Response	Subheading Score	Capacity Score
External Relationships			
• Collaboration	Maintains strong, high-impact relationships, participates in a variety of coalitions and committees	3	
• Widely known and perceived to be engaged	Yes	3	

• External Partner Feedback
   o Satisfaction
   o Effectiveness
   o Comments
	
	See Attached
		
		2.62
		2.62	

External Relationships Capacity Score:		**11.24/4=**	**2.81**

Please rate your overall satisfaction with your partnership with the agency.

Phoenix Programs (n=4)

No. of Responses

	1: Totally unsatisfied	2: Somewhat unsatisfied	3: Neutral	4: Somewhat satisfied	5: Totally satisfied

Average Score: 2.62
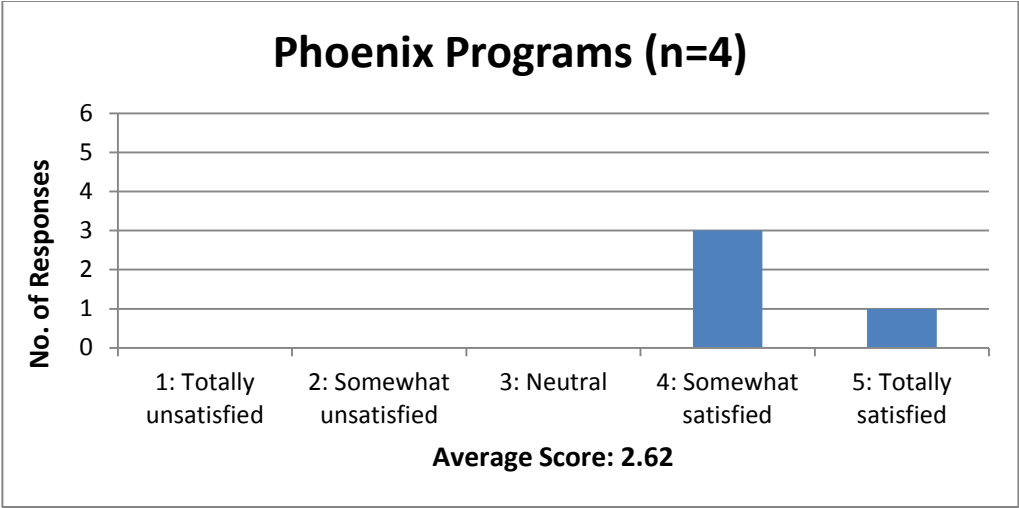
Scale
3.0 = Totally satisfied
2.5 = Somewhat satisfied
2.0 = Neutral
1.5 = Somewhat unsatisfied
1.0 = Totally unsatisfied

Please rate your opinion of the effectiveness of each agency in the community

Phoenix Programs (n=4)

No. of Responses

	1: Totally ineffective	2: Somewhat ineffective	3: Neutral	4: Effective	5: Very effective

Average Score: 2.62
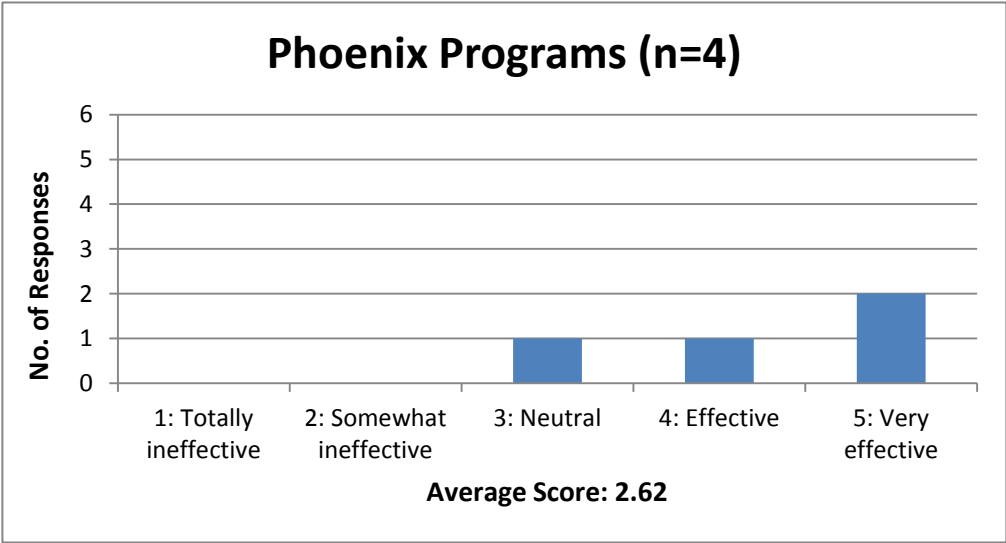
Scale
3.0 = Very effective
2.5 = Effective
2.0 = Neutral
1.5 = Somewhat ineffective
1.0 = Totally ineffective

12

Comments:

The leadership highly values evidence-based service delivery and we appreciate their efforts to provide high quality services in the community.
Well run program with great staff. Serves a very important need.
Provide a holistic approach for those with addictions. We work with them in a variety of ways.